

CHAPTER 4

STANDARDIZATION MANAGEMENT

A. DSP MANAGEMENT STRUCTURE

DoD standardization policies and procedures are managed centrally by the OSD and in the Military Departments and the Defense Agencies by the DepSOs. The SMAS accomplish the actual standardization efforts and development of standardization documents by performing a variety of functions, including parts control, item reduction, document preparation, document adoption, and document review. The SD-1 (reference (t)) identifies the SMAs.

1. FSGs, FSCs, and Standardization Areas. DoD standardization management responsibilities are divided along product and technology lines. The Federal Cataloging System organizes products into logical families known as "Federal Supply Groups (FSGs)", and then subdivides the FSGS into "Federal Supply Classes (FSCs)." Cataloging Handbook H2-1 (reference (u)) defines the FSGS and the FSCs. Submit proposals to the DLSC to change or create new FSGS or FSCs, in accordance with the procedures given in DoD 4100.39-M, Volume 3 (reference (v)) . Technologies, such as soldering, reliability, safety, and configuration management are organized into standardization areas. The SD-1 (reference (t)) defines the standardization areas. Submit proposals to change, consolidate, or create new standardization areas through the appropriate DepSO to the OASD (P&L) SPD.

2. Assignment of Management Responsibilities. DepSO and SMA assignments are made, as follows:

a. Assignment of DepSOs. The Military Departments and Defense Agencies designate the office in their Department or Agency that shall serve as the DepSO.

b. Assignment of LSAs. In consultation with the DepSOs, the OASD (P&L) SPD shall designate the Military Department, the Defense Agency, or the OSD to manage each FSG, FSC, and standardization area. These assignments shall be made on the basis of overall technical expertise, interest, and resources. Reference (t) lists the responsible LSA for each FSG, FSC, and standardization area. If a LSA has not been assigned, the OASD (P&L) SPD shall assume temporary management responsibilities.

c. Assignment of Participating Activities. Each DepSO shall designate a Participating Activity to help the LSA manage a FSG, a FSC, or a standardization area. The SD-1 (reference (t)) lists a Participating Activity for each FSG, FSC, and standardization area where a LSA is identified.

d. Assignment of Item Reduction Activities. In consultation with the DepSOs, the OASD(P&L)SPD shall designate Item Reduction Activities to conduct item reduction studies. The assignments shall be made on the basis of overall technical expertise, interest, and resources. . Reference (t) lists the responsible Item Reduction Activity for each FSC.

e. Assignment of Preparing Activities (or Adopting Activities). Only activities that have been designated as "SMAs" by their DepSO and listed in reference (t) may be Preparing Activities. The LSA by approving a standardization project action also approves the Preparing Activity for that standardization document. A DepSO or the OASD(P&L)SPD through a DepSO may also assign Preparing Activity responsibility.

f. Assignment of Custodians. There is no formal method for assigning custodians. Only coordinated documents shall have custodians. Only activities listed in the SD-1 (reference (t)) may be a custodian. Usually, the Preparing Activity shall act as the custodian for its Military Department, and shall request a SMA from each of the other Military Departments to serve as custodian based on technical expertise or procurement use. If a Military Department does not have an interest in a document, there shall be no custodian. Normally, a Defense Agency is not represented by a custodian, but may be a custodian if it represents other SMAS in that Agency. The Preparing Activity may consult the LSA or the appropriate DepSOs to assist in identifying custodians.

g. Assignment of Review Activities. There is no formal method for assigning review activities. Any SMA listed in reference (t) may be a review activity. Usually, the Preparing Activity will select review activities based on technical expertise or procurement use. The Preparing Activity may consult the custodians or the LSA to assist in identifying review activities.

h. Assignment of MCAS. Where the Department of Defense has an interest in a Federal specification or a standard prepared by a civilian Agency, the cognizant LSA shall assign a MCA to coordinate

the document in the Department of Defense and provide consolidated DoD comments or concurrence back to the civilian Preparing Activity.

3. Transfer of Assignments. Transfer of SMA assignments is made, as follows:

a. Transfer of LSA Assignments. Only the OASD (P&L) SPD may approve LSA assignments. If an activity no longer has the capability or interest to continue as a LSA, it may request to the OASD (P&L) SPD through its DepSO to transfer the assignment. That request must state the reasons for the proposed transfer and recommend another activity to assume LSA responsibilities.

b. Transfer of Participating Activity Assignment. Only the cognizant DepSO may transfer Participating Activity Assignment. If an activity no longer has the capability or interest to continue as a Participating Activity, it may request its DepSO to transfer that assignment. The request must state the reasons for the proposed transfer and recommend another activity to assume Participating Activity responsibilities.

c. Transfer of Item Reduction Activity Assignments. Only the OASD (P&L) SPD may approve Item Reduction Activity assignments. If an activity no longer has the capability or interest to continue as an Item Reduction Activity, it may request to the OASD (P&L) SPD through its DepSO to transfer that assignment. The request must state the reasons for proposed transfer and recommend another activity to assume Item Reduction Activity responsibilities.

d. Transfer of Preparing (or Adopting Activity) Assignment. A Preparing Activity may transfer responsibility for a document to another SMA on receipt of a letter of acceptance from that SMA. The Preparing Activity shall then submit a DD Form 1865, "DoD Index of Specifications and Standards (DoDISS) Change/Correction Request," to the DoDSSP, the LSA, and the Custodians and send the document files to the new Preparing Activity. The OASD (P&L) SPD, in consultation with the DepSOs, or the cognizant DepSO may also change Preparing Activity assignment.

e. Transfer of Custodian Assignment. A Custodian may transfer responsibility for a document to another SMA on receipt of a letter of acceptance from that SMA. The Custodian shall then submit a DD Form 1865 to the Preparing Activity, the DoDSSP, the LSA, and the other Custodians and send the document files to the new Custodian. The DepSOs may also change Custodian assignment.

f. Transfer of Review Activity Assignment. Since any SMA may be a review activity, there is no need to transfer review activity assignment. A SMA may add or delete itself as a review activity by submitting a DD Form 1865 to the Preparing Activity, the DoDSSP, the LSA, and its Custodian.

g. Transfer of MCA Assignment. MCA transfer of responsibility may occur in one of three following ways:

(1) If the MCA and another SMA agree to the transfer. If that agreement is reached during coordination of a document, the DoD response to the civilian Preparing Activity shall make the transfer. If the agreement is made outside of coordination, the MCA shall submit a DD Form 1865 to the DoDSSP to make the change in the DoDISS (reference (n)) . A copy of the DD Form 1865 shall be sent to the new MCA, the LSA, the GSA, and the civilian Preparing Activity.

(2) The DepSO may transfer the MCA assignment to another SMA in its Military Department or Defense Agency.

(3) The OASD(P&L)SPD may transfer the MCA assignment.

B. STANDARDIZATION PLANNING

The LSAS, working with the users and the SMAs, must identify and prioritize standardization opportunities that will contribute to such important DoD-wide objectives as reducing costs, improving performance, increasing sources of supply, and accelerating delivery. The decision to standardize should be made well in advance of any effort to document decisions in a standardization document, item reduction study, or engineering practice study. The LSA shall prepare standardization program plans to identify standardization efforts, opportunities, problems, and goals. Appendix C gives the policies, procedures, responsibilities, content, and format for standardization program plans.

1. Standardization Criteria. The decision to standardize must be balanced against other technical and business trade-offs. Standardization efforts take time and resources, and the resulting documentation requires resources to develop and keep current. Before a standardization effort is undertaken, the SMA must determine that the benefits will justify the effort. Standardization of a product or process is recommended when any of the following conditions exist:

- a. There are multiple applications.
- b. A product or technology is mature or stable.
- c. Requirements do not change too rapidly.
- d. There will be repetitive procurements.
- e. There will be a cost benefit from economy of scale.
- f. There is a need to limit or reduce items in the Federal supply system.
- g. There are multiple suppliers.
- h. There is a need to limit engineering practices.
- i. There is a requirement for joint interoperability between systems or subsystems.

2. Documenting Standardization Decisions. Standardization decisions shall be documented in a standardization document, an item reduction study, or an engineering practice study.

a. Standardization Documents. To conserve DoD resources, determine early in the decision-making process the required type of standardization document. Use the following hierarchy of standardization documents to document standardization decisions for acquisition purposes, unless otherwise required by law or international treaty. This hierarchy best supports DoD's efforts to promote acquisition of commercial products and dual-use technology, and to enhance the U.S. industrial base and mobilization preparation. Chapter 5 and Appendixes D through H discuss each of these types of standardization documents.

(1) NGSs.

(2) CIDs.

(3) Federal specifications and standards (performance preferred over detail design).

(4) Military specifications and standards and guide specifications (performance preferred over detail design) .

b. Item Reduction Studies. Item reduction studies shall document standardization decisions to reduce items in the Federal supply system. An item reduction study may result in the development, revision, or consolidation of standardization documents to help prevent nonstandard items from reentering the supply system. The procedures for item reduction studies are in Appendix I.

c. Engineering Practice Studies. Engineering practice studies shall document standardization decisions to create uniform approaches for engineering practices such as drafting practices, safety codes, engineering terms, test methods, interfaces, and basic characteristics of equipment and materials. The result of an engineering practice study may require the development, revision, or consolidation of standardization documents to standardize on practices. The procedures for engineering practice studies are in Appendix J.

C. STANDARDIZATION PROJECTS

Once it is determined how a standardization decision will be documented, the Preparing Activity shall contact the LSA and request authorization to begin a standardization project. The establishment of a standardization project is a cooperative effort between the Preparing Activity and the LSA to ensure that standardization projects are needed and will achieve the objectives of the DSP in a timely and cost-effective manner. The LSA must ensure compliance with DoD standardization policies and the standardization objectives detailed in a program plan, but must also be sensitive to each DoD activity's acquisition and technical needs. The LSA's management involvement shall continue throughout the life of a standardization project. As the standardization manager for a FSG, a FSC, or a standardization area, the LSA should assist, if necessary, the Preparing or Adopting Activity in determining custodians, resolving standardization problems, raising standardization issues to higher authority, and promoting the timely completion of standardization projects.

1. Approval of Standardization Projects. Before requesting approval of a standardization project, the Preparing or Adopting Activity shall ensure the need for a standardization document, and that the project supports the DSP policies and objectives. The LSA shall keep a record of all approved standardization projects. As a minimum, the records shall include the information required in Appendix K, tailored by the LSA to the FSG, the FSC, or the standard-

ization area. The LSA shall not approve a standardization project if, based on responses to the standardization project justification determination, a standardization project is not necessary or does not support the DSP policies and objectives. The LSA should try to offer an alternative approach for any disapproved standardization project requests. If a standardization project request is disapproved, the Preparing or Adopting Activity may appeal the decision through its DepSO to the OASD(P&L)SPD.

2. Assignment of Standardization Project Number. Assignment of a standardization project number indicates LSA approval of the standardization project for a coordinated, limited coordinated, or interim standardization document or study. The project number shall appear on all drafts and correspondence until document completion and approval.

a. Standardization Documents Requiring Project Numbers. All DoD Preparing Activities must get standardization project numbers to revise, amend, change, reinstate, inactivate for new design, cancel, or develop a new standardization document. The Adopting Activity must get a standardization project number for the adoption or withdrawal of adoption of a NGS. Item reduction studies and engineering practice studies also require standardization project numbers. The only type of standardization document that does not require a project number is a validation notice.

b. Standardization Project Number Structure. The standardization project number shall consist of two parts. The first part is the applicable FSG, the FSC, or the standardization area. The second part shall be a nonsignificant four-digit number serially assigned in each FSG, FSC, or standardization area. (For example: **2620-0023**, **15GP-1590**, or **CMAN-0934**.) Once all of the nonsignificant four-digit numbers have been assigned in a FSG, a FSC, or a standardization area, the numbering sequence shall start again with "-0001) ." Closely related projects initiated in the same timeframe may be identified by a *project number* followed by a dash and sequentially assigned *subproject* numbers. (For example, 5960-0001-01, 5960-0001-02, and 5960-0001-03.)

3. Preparation and Submittal of DD Form 1585 "Standardization Project Transmittal Sheet". On assignment of a standardization project number, the Preparing or Adopting activity shall prepare and submit a DD Form 1585, in accordance with the instructions given in the SD-4 (reference (w)) . The DoDSSP publishes the information on the DD Form 1585 in reference (w) to advise users of proposed new

documents, revisions, amendments, cancellations, and other changes. Report Control Symbol DD-P&L (AR) 759 has been assigned to this reporting requirement.

4. Monitoring Standardization Projects. The LSA shall monitor the progress of approved standardization projects to ensure timely completion and continued adherence to DSP policies and procedures. The Preparing or Adopting activity shall send the LSA copies of all coordination drafts and the final approved document. The LSA shall work with the Preparing or Adopting activity to ensure compliance with the DSP policies and procedures, but may unilaterally discontinue any standardization project that is not in compliance. A Preparing or Adopting activity may appeal a decision to discontinue a standardization project through its DepSO to the OASD (P&L) SPD.

D. APPROVED STANDARDIZATION DOCUMENTS

The Preparing or Adopting activity has the authority to approve standardization documents. This approval is conditional on compliance with the DSP policies and procedures. If adherence to a DSP policy or procedure would not be in the best interests of the Department of Defense, the Preparing or Adopting Activity may request an exception through its DepSO from the OASD (P&L) SPD, with a copy of the exception request sent to the appropriate LSA for information. The Preparing Activity is primarily responsible for ensuring that approved standardization documents comply with DSP policies and procedures, but the cognizant LSA also shares this responsibility. If an approved standardization document does not comply with the DSP policies and procedures, the LSA may unilaterally cancel the document. However, it is preferable that the LSA work with the Preparing or Adopting Activity to develop a corrective strategy that will have minimal impact on the users or any acquisition effort.

E. DOCUMENTING STANDARDIZATION BENEFITS

When possible, LSAS, WAS, or DepSOs should develop standardization case studies to document the benefits of standardization. Such benefits would include reduced costs, reduced production lead time, elimination of duplicate items of supply, improved interoperability between allies or the Military Departments, improved quality and reliability, and improved operational readiness.